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Easy Options/ESPP Custom ™

Getting Started

Version 3.99.997   10/19/2020

Contents

Thank you for purchasing Easy Options/ESPP Custom ™ - Stock Options and Employee Stock Purchase Management Software

Complete, Fully Automated and Always Custom Fitted to Meet Your Needs

KEY PRODUCT FEATURES:

Integrated Stock Options, Restricted Awards & Performance Shares Solution
Integrated Employee Stock Purchase Management Solution
Integrated Insider Reporting Module for SEC-16 Forms 3, 4 & 5[i]
Integrated ASC 718 (FAS 123R) compliant Valuation Module with
Binomial and Black-Scholes models
Monte-Carlo Custom Modeling for Performance Shares / TSR Valuation
Over 180 Customizable Reports[ii]
Fully Automated Task Scheduling of Reports and Data Imports/Exports
Custom Developed Employee WEB Access
Reports Automatically Delivered and Distributed via e-Mail
Forensic Accounting with Auto Backup on system exit or as a scheduled task

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[i] includes creation of xml files for the electronic form submission, based on the Edgar 8.5 Reduced Content XML Filing Specification
[ii] including complete set of Expense Allocation and ASC 260 Diluted Options Outstanding reports

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This Agreement shall be effective as of the date of counter-execution by duly authorized agent or employee of OWNER or when your install Easy Options/ESPP Custom (tm), Computer Program and User Documentation, whichever occurs first.

System Requirements

For latest hardware and software requirements related to Stox multi-user scenarios please consult **Appendix B**

Hardware requirements:

- Personal computer capable of running Microsoft Windows.

- 200 MB of hard disk space for initial server or stand-alone system installation

- Additional 10 MB (approx.) of hard disk space per 1,000 records in every database in the system

- 0 MB of permanent hard disk space is required on client computers. Some temporary disk space, other that Windows swap file is needed

- Network adapters for the multi-user Stox system

- iPad / iPad Mini / iPhone 4s/5/5s/6/6 Plus for accessing Stox system from iOS devices

Software requirements:

- Microsoft Windows XP / Vista / 7 / 8 or newer Windows operating system with latest Service Pack applied

- Microsoft Network with TCP/IP networking protocols for the multi-user system

- FileMaker Pro 11/12/13 for stand-alone or two concurrent users in the Stox system (installed on a client or stand-alone computer). **No FileMaker Pro is required for a binded Stox version.**

- FileMaker Pro Server for the client-server Stox system (installed on a server computer)

- Latest Microsoft .NET Framework for the Auto Backup/Forensic Accounting features

- FileMaker Go for accessing Stox system from the iOS device

Installation Guide

This part is about installing Stox system on a server or stand-alone computer. You do not have to install Stox system on a client computer.

Installation procedure should start automatically when you insert Stox installation CD in the drive. If not, please start **Setup.exe** manually.

There are two types of installation: *default* and *custom*.

Default installation will copy all files. This is a recommended installation type.

Custom installation allows you to omit some components from installing them on your hard drive. These are: example import/export files and interactive users guide (requires Microsoft PowerPoint)

Next, you have to specify installation directory. Default is set to **c:\Stox**

At the end, specify program group name.

If you plan and have a license to run multiple Stox installation, you have to install every Stox instance in a separate directory, with different program group names.

Starting Stox

To start the system in the Windows XP/Vista/7 please press Start button, select All Programs, Stox and click on the **Stox** icon. In the previous versions of Windows you need to open Stox program group and double click on the **Stox** icon (shortcut).

This will open Stox application and show Main Screen.

You will be prompted to enter a password. Default passwords are: **userstx**, for the regular Stox user, **adminstx**, for the system administrator, **reportstx**, for the Stox user that can only run reports, and **pp** for the plan participant login. It is strongly recommended to change these passwords and write and remember new ones. Without a password you cannot use the system. If you forget or lose password, there is no way we can help you to retrieve your data.

Please see Users Guide on passwords and groups for more details.

To start Stox on a client machine, you need to start system on a server and run FileMaker Pro on a client computer. Open the **Main** database file using the **Hosts** button in the Open File dialog box. Depending of your File Maker Pro startup configuration, you

may get a New database wizard upon starting the FileMaker Pro, in which case you have to select **Open an existing file...** radio button and press the **OK** button. Clicking on the **Hosts** button will list all available host computers that may exist on your network with all hosted FileMaker Pro databases. Select **Main** from the list and click **OK**.

First Look

Main screen is your starting place. All the system activities can be reached from there. Navigation system is designed to provide the quickest way for you to perform tasks. Remember, whenever you are, your destination screen is as far as two clicks away!

There are "internet browser" style buttons for navigation through the system screens. Whatever task you are performing, system stores your position and you can go **Back** and **Forward** through the task history. **Home** button brings you directly to the Main system screen. When the button label is white, you are either at the start or at the end of the task history.

Together with these buttons, there are eight "intelligent" buttons for quick jumps to the most important system screens. This speeds up navigation even more. What makes them "intelligent"? Depending on your current position and task that you are performing, system automatically tunes procedures that are connected with quick jump buttons. This means that you will jump directly to the related records in the destination database, without a need to filter data manually.

Getting Help

Whenever you have a doubt about an operation you perform or need to perform, there is a thorough help system you can rely on. For the first help, you can click on the Question mark button and system will show you "on-side" help text that explains screen you are currently on. To return back, please press the button with left arrow on it. If you need more help, press the More button (this opens up classic Windows Help or On-line Help). For more traditional users, which prefer help on paper, there are User's Guide and Report's Guide, covering completely all Stox features. Finally, you can contact us by phone or e-mail for some specific demands and questions.

Quitting

In order to exit from the Stox system, please go to the Main Screen (using the Home navigation button) and press the Quit button. This will ensure that all databases are closed properly.

What's Next?

Run an interactive Users Guide by clicking on the Tutorial icon (placed in the Stox program group, requires Microsoft PowerPoint 2000 or higher) and familiarize yourself with all features of the Stox system. Its unique training schemes will teach you by examples how to use system for managing Stock Options, Employee Stock Purchases Plans, and Insider Reporting.

Appendix A: System Implementation Sheet

For a successful system usage, please follow this sequence of events:

- **Things to do first time you start Stox[iii]**

  Action: Setup system preferences
  Where: Main screen – Preferences
  What:
  - Report Settings
    - Company Name
    - Market Symbol (abbreviation)
    - Report Header
  - Price Settings
    - Fair Market Value calculation
    - Exercise Value
    - Purchase Value
  - IRS Limit for Purchases
    - Annual Limit
  - ISO Limit for Options
    - Annual Limit
  - Fiscal Year Settings
    - FY Start Date
    - number of Periods in FY

- **Create Brokers record**

  Where: Main screen - Brokers
  How: Press the New Record button
  Note: Enter all required information

- **Create Taxes records**

  Where: Main screen – Taxes
  How: Press the New Record button

- **Setup default taxes** (that will be applied to all employees)

  Where: Main screen - Taxes - System Tasks
  How: Select default taxes and press Set as default taxes button

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[iii] If you are upgrading your current Stox release, your first step is to Update system files. Please read Users Guide about updating procedure.

- **Create Employee record(s)**

   Where: Main screen - Employees
   How: Press the New Record button
   Note: Enter as much employee information as you know, including all required fields

- **Before creating Option Plan records**

   Action: Create at least one Vesting Schedule record
   Where: Main screen - Vesting Schedules
   How: Press the New Record button
   Note: Be sure that the sum of period months is exactly 100%

- **Create Option Plan record(s)**

   Where: Main screen - Option Plans
   *How***:** Press the New Record button
   *Note***:** Enter all required information

- **Create Purchase Plan record(s)**

   *Where***:** Main screen - Purchase Plans
   *How***:** Press the New Record button
   *Note***:** Enter all required information

- **Create Purchase Period(s) for Purchase Plan records**

   *Where***:** Main screen - Purchase Plans
   *How***:** Position to Plan card and then press the New Period button
   *Note***:** Enter all required information

- **Enter Prices**

   *Where***:** Main screen - Prices
   *How***:** Press the New Record button, enter date and all price related data
   *Note***:** You must enter prices on all dates you will use in various system transactions

- **Enter Currencies**, if you will use foreign currencies in the ESPP

   *Where***:** Main screen - Currencies
   *How***:** Press the New Record button; enter date, currency and exchange rate
   *Note***:** You must enter exchange rates for all currencies you will use in various ESPP transactions. If no foreign currencies will be used, you need to leave one currency record, with USD as a currency, exchange rate of 1.0 and date set to 1/1/1900 (or other very old value)

- **Before adding new grants, contributions & purchases**

    Action: Setup system preferences
    Where: Main screen - Preferences
    What:
    - Miscellaneous
            - Find in employees' portal clears previous find requests

- **Before adding new grants**

    Action: Be sure you have created option plan and vesting schedule you want to use, as well as employee records that will receive grants. Furthermore, prices record should exist on chosen grant date.

- **Before first exercises**

    Action: Setup system preferences
    Where: Main screen - Preferences
    What:
    - SDS-Exercise gain calculation
            - SDS for NQ options
            - SDS for ISO options
    - Miscellaneous
            - Find exercisable options immediately upon activating the "New Exercises" module

- **Before adding new Exercises**

    Note: System will not fill exercise value on chosen exercise date if there is no prices record on that date.

- **Before adding new Options Dispositions**

    Action: No special action is required.

- **Before Options or PurchaseValuations**

    Action: Create at least one Forecast record
    Where: Main screen - Forecasts
    How: Press the New Record button, choose a valuation model and enter all required fields

- **Before adding new Contributions**

    Action: Be sure you have created purchase plan you want to use, as well as employee records that will contribute. Furthermore, prices and currencies (if foreign currencies are used) record must exist on chosen contribution date.

- **Before adding new Purchases**

    *Action***:** Be sure you have created purchase plan and period for which you are creating stock purchases. All employees' records used must contain purchase type of issuance. Prices and currencies (if foreign currencies are used) record must exist on the purchase date.

- **Before adding new Purchase Dispositions**

    *Action***:** No special action is required.

- **Enter Codes**

    *Where***:** Main screen - Codes
    *How***:** Press the New Record button, enter all required data.
    *Note***:** Code and Form number combination must be unique.

- **Enter Security Titles**

    *Where***:** Main screen - Securities
    *How***:** Press the New Record button, enter all required data.

- **Before entering new Transactions**

    Action: Be sure you have Codes and Securities you will use in transactions.

- **Before entering new Forms**

    *Action***:** No special action is required.

- **Before first imports**

    *Action***:** Setup system preferences
    *Where***:** Main screen - Preferences
    *What***:**
    - Miscellaneous
         - Import Status Report automatically finds rejected imports

- **Changing the password**

    You supply password at the system start-up. Based on that password, system recognizes your user level.

    *Action***:** Go to the **Maintenance** screen from the Main menu and press **Proceed** at the Change password panel. System will walk you through all password protected databases. You need to specify old, new, and to confirm new password. We highly recommend you to use **same** password for all databases.

    In a case of a manual password change following databases are a**ccessible from the main screen:** Assignments, Brokers, Codes, Contributions, Currencies, Deferrals, Employees, Exercises, Forecasts, Forms, Logs, Main, Options, Option Dispositions,

Option Plans, Prices, Purchase Dispositions, Purchase Plans, Purchase Refunds, Purchase Valuations, Purchases, Reports, Repurchases, Securities, Taxes, Transactions, Vesting Schedules

SCRATCH Deferrals [iv]   (Main screen - Deferrals)
SCRATCH Exercises   (Main screen - Exercises)
SCRATCH Options   (Main screen - New Grants)

Accessible through the Window menu:
Help, Navigate, Purchase Periods, Scheduler

Need to be opened manually (File - Open)**:**
Option Expense Details, Option Vesting Details, Option Vesting Adjustments, Reports Pack

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[iv] For SCRATCH databases, change password and then **Cancel** unwanted new records (grants/exercises/deferrals).

Appendix B: Stox Multi-user Scenarios

This appendix brings information related to the latest (as of February 2014) requirements for Stox concurrent (multi-user) usage in a corporate network environment. It replaces previous Multi-user Issues.

Opposite to the Stox single-user version, which is distributed as a standalone application, Stox aimed for concurrent usage requires latest File Maker software to work.

There are several scenarios available, in order of recommendation:

1. File Maker Server software installed on a corporate network Stox server, and File Maker Pro software installed on each Stox client computer.

   Depending on the number of concurrent users FileMaker, Inc. offers bundle discounts, and annual subscriptions rather than buying server/software. More information you can find here:
   https://store.filemaker.com/US/ENG/LIC/

2. Concurrent Stox over terminal services in Windows 2008 R2 server environment. This means Stox is hosted on FileMaker Server software, there is one computer running FileMaker Pro software, and all Stox clients use remote desktop connections to that computer. You will need appropriate Volume License program depending of the number of Stox clients. Please read technical requirements:
   http://www.filemaker.com/products/filemaker-pro/pro-13-specifications.html

3. Two concurrent Stox users only – you may skip File Maker Server and obtain just two copies of File Maker Pro software. One computer will host Stox files, and one Stox user will be able to work on it, while second user will access Stox files over the corporate network. For optimal performance we recommend hosting Stox files using FileMaker Server.

File Maker 13 Server requirements:

Windows 8 Pro (64-bit)

Windows Server 2012 Standard Edition (64-bit)

Windows Server 2008 R2 SP1 (64-bit)

Windows 7 Professional Edition SP1 (64-bit)

Hardware Requirements

Database Server	
Minimum	**Recommended**
CPU: Dual Core **RAM**: 4 GB **Hard Drive**: 80 GB or more, dependent on file size, requires minimum 10 GB free space	**CPU**: 4-Core **RAM**: 8 GB **Hard Drive**: 80 GB or more, dependent on file size, requires minimum 10 GB free space

For more information about hardware and software requirements related to FileMaker Server software please visit
http://www.filemaker.com/products/filemaker-server/server-13-specifications.html

Stox and File Maker Pro 13 requirements:

Windows 8.1, and
Windows 8.1 Pro*

Windows 8, and
Windows 8 Pro*

Windows 7 Ultimate, Professional, Home Premium*

Hardware Requirements

	Minimum Requirements	**Recommended Requirements**
Windows	**CPU:** Intel Pentium 4 / AMD Athlon 64 or newer **RAM:** 1 GB	**CPU**: Intel Pentium 4 / AMD Athlon 64 or newer **RAM**: 2 GB

Please note that FileMaker Pro in a network environment may require some TCP/IP ports open in your firewall configuration. More about technical specifications for FileMaker Pro can be found here:
http://www.filemaker.com/products/filemaker-pro/pro-13-specifications.html

This is the last page of Getting Started Guide

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Ez Custom Software Solutions, Inc.

125-720 King Street West
Toronto, Ontario M5V 3S5
Canada
Phone: (877) 861-6309
www.ezCustomSoftware.com
support@ezCustomSoftware.com